

**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

In re the Application of :  
Jose A. SALAS et al. : Attorney Docket No.  
Application No. 10/534,210 : 4408-P03626US00  
Filed: March 17, 2006 : Confirmation No: 9982  
For: BORRELIDIN-PRODUCING :  
POLYKETIDE SYNTHASE AND ITS :  
USE :

**REQUEST FOR CORRECTED FILING RECEIPT**

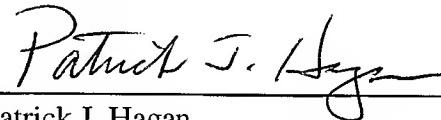
Please issue a corrected filing receipt in the above-identified application. The filing receipt is in error in that there are ten (10) inventors; however, only one (1) inventor is listed on the filing receipt. Below the heading "Applicant(s)", the following inventors should be listed, as evidenced by the enclosed Declarations filed with the instant application on May 6, 2005:

Jose A. Salas, Oviedo, SPAIN;  
Carmen Mendez, Oviedo, SPAIN;  
Carlos Olano, Oviedo, SPAIN;  
Cesar Sanchez, Oviedo, SPAIN;  
Alfredo Brana, Oviedo, SPAIN;  
Barrie Wilkinson, Cambridge, UNITED KINGDOM;  
Christine J. Martin, Cambridge, UNITED KINGDOM;  
Steven Moss, Cambridge, UNITED KINGDOM;  
Peter F. Leadlay, Cambridge, UNITED KINGDOM; and  
Marko Oliynyk, Cambridge, UNITED KINGDOM

A copy of the filing receipt is included with this Request, together with copies of the Form PCT/RO/101 declaration sheets which each above-listed inventor has executed. As there is not enough space to type all of the inventors names under the "Applicant(s)" heading, we are not enclosing a copy of the marked-up filing receipt.

Respectfully submitted,

DANN, DORFMAN, HERRELL & SKILLMAN  
A Professional Corporation  
Attorneys for Applicant(s)

By   
Patrick J. Hagan  
PTO Registration No. 27,643

Customer Number 000110  
Telephone: (215) 563-4100  
Facsimile: (215) 563-4044  
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UNITED STATES PATENT AND TRADEMARK OFFICE

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APPL NO.	FILING OR 371 (c) DATE	ART UNIT	FIL FEE REC'D	ATTY.DOCKET NO	DRAWINGS	TOT CLMS	IND CLMS
10/534,210	03/17/2006	1615	2175	4408-P03626US00	11	81	5

CONFIRMATION NO. 9982

110  
DANN, DORFMAN, HERRELL & SKILLMAN  
1601 MARKET STREET  
SUITE 2400  
PHILADELPHIA, PA 19103-2307

FILING RECEIPT



\*OC000000021554734\*

Date Mailed: 12/13/2006

Receipt is acknowledged of this regular Patent Application. It will be considered in its order and you will be notified as to the results of the examination. Be sure to provide the U.S. APPLICATION NUMBER, FILING DATE, NAME OF APPLICANT, and TITLE OF INVENTION when inquiring about this application. Fees transmitted by check or draft are subject to collection. Please verify the accuracy of the data presented on this receipt. If an error is noted on this Filing Receipt, please mail to the Commissioner for Patents P.O. Box 1450 Alexandria Va 22313-1450. Please provide a copy of this Filing Receipt with the changes noted thereon. If you received a "Notice to File Missing Parts" for this application, please submit any corrections to this Filing Receipt with your reply to the Notice. When the USPTO processes the reply to the Notice, the USPTO will generate another Filing Receipt incorporating the requested corrections (if appropriate).

Applicant(s)

Jose A. Salas, Oviedo, SPAIN:

*← Insert inventors (10 total)*

Power of Attorney: The patent practitioners associated with Customer Number 110.

Domestic Priority data as claimed by applicant

This application is a 371 of PCT/GB03/05704 12/24/2003

Foreign Applications

UNITED KINGDOM 0230217.2 12/27/2002

If Required, Foreign Filing License Granted: 12/09/2006

The country code and number of your priority application, to be used for filing abroad under the Paris Convention, is **US10/534,210**

Projected Publication Date: 03/22/2007

Non-Publication Request: No

Early Publication Request: No

\*\* SMALL ENTITY \*\*

**Title**

Borrelidin-producing polyketide synthase and its use

**Preliminary Class**

514

## **PROTECTING YOUR INVENTION OUTSIDE THE UNITED STATES**

Since the rights granted by a U.S. patent extend only throughout the territory of the United States and have no effect in a foreign country, an inventor who wishes patent protection in another country must apply for a patent in a specific country or in regional patent offices. Applicants may wish to consider the filing of an international application under the Patent Cooperation Treaty (PCT). An international (PCT) application generally has the same effect as a regular national patent application in each PCT-member country. The PCT process **simplifies** the filing of patent applications on the same invention in member countries, but **does not result** in a grant of "an international patent" and does not eliminate the need of applicants to file additional documents and fees in countries where patent protection is desired.

Almost every country has its own patent law, and a person desiring a patent in a particular country must make an application for patent in that country in accordance with its particular laws. Since the laws of many countries differ in various respects from the patent law of the United States, applicants are advised to seek guidance from specific foreign countries to ensure that patent rights are not lost prematurely.

Applicants also are advised that in the case of inventions made in the United States, the Director of the USPTO must issue a license before applicants can apply for a patent in a foreign country. The filing of a U.S. patent application serves as a request for a foreign filing license. The application's filing receipt contains further information and guidance as to the status of applicant's license for foreign filing.

Applicants may wish to consult the USPTO booklet, "General Information Concerning Patents" (specifically, the section entitled "Treaties and Foreign Patents") for more information on timeframes and deadlines for filing foreign patent applications. The guide is available either by contacting the USPTO Contact Center at 800-786-9199, or it can be viewed on the USPTO website at <http://www.uspto.gov/web/offices/pac/doc/general/index.html>.

For information on preventing theft of your intellectual property (patents, trademarks and copyrights), you may wish to consult the U.S. Government website, <http://www.stopfakes.gov>. Part of a Department of Commerce initiative, this website includes self-help "toolkits" giving innovators guidance on how to protect intellectual property in specific countries such as China, Korea and Mexico. For questions regarding patent enforcement issues, applicants may call the U.S. Government hotline at 1-866-999-HALT (1-866-999-4158).

### **LICENSE FOR FOREIGN FILING UNDER Title 35, United States Code, Section 184 Title 37, Code of Federal Regulations, 5.11 & 5.15**

#### **GRANTED**

The applicant has been granted a license under 35 U.S.C. 184, if the phrase "IF REQUIRED, FOREIGN FILING LICENSE GRANTED" followed by a date appears on this form. Such licenses are issued in all applications where the conditions for issuance of a license have been met, regardless of whether or not a license may be required as set forth in 37 CFR 5.15. The scope and limitations of this license are set forth in 37 CFR 5.15(a) unless an earlier license has been issued under 37 CFR 5.15(b). The license is subject to revocation upon written notification. The date indicated is the effective date of the license, unless an earlier license of similar scope has been granted under 37 CFR 5.13 or 5.14.

This license is to be retained by the licensee and may be used at any time on or after the effective date thereof unless it is revoked. This license is automatically transferred to any related applications(s) filed under 37 CFR 1.53(d). This license is not retroactive.

The grant of a license does not in any way lessen the responsibility of a licensee for the security of the subject matter as imposed by any Government contract or the provisions of existing laws relating to espionage and the national security or the export of technical data. Licensees should apprise themselves of current regulations especially with respect to certain countries, of other agencies, particularly the Office of Defense Trade Controls, Department of State (with respect to Arms, Munitions and Implements of War (22 CFR 121-128)); the Bureau of Industry and Security, Department of Commerce (15 CFR parts 730-774); the Office of Foreign Assets Control, Department of Treasury (31 CFR Parts 500+) and the Department of Energy.

**NOT GRANTED**

No license under 35 U.S.C. 184 has been granted at this time, if the phrase "IF REQUIRED, FOREIGN FILING LICENSE GRANTED" DOES NOT appear on this form. Applicant may still petition for a license under 37 CFR 5.12, if a license is desired before the expiration of 6 months from the filing date of the application. If 6 months has lapsed from the filing date of this application and the licensee has not received any indication of a secrecy order under 35 U.S.C. 181, the licensee may foreign file the application pursuant to 37 CFR 5.15(b).

**Declaration of inventorship (Rules 4.17(iv) and 51bis. 1(a)(iv))  
for the purposes of the designation of the United States of America:**

I hereby declare that I believe I am the original, first and sole (if only one inventor is listed below) or joint (if more than one inventor is listed below) inventor of the subject matter which is claimed and for which a patent is sought.

This declaration is directed to the international application of which it forms a part (if filing declaration with application).

This declaration is directed to international application No. PCT/GB2003/005704 (if furnishing declaration pursuant to Rule 26ter).

I hereby declare that my residence, mailing address, and citizenship are as stated next to my name.

I hereby state that I have reviewed and understand the contents of the above-identified international application, including the claims of said application. I have identified in the request of said application, in compliance with PCT Rule 4.10, any claim to foreign priority, and I have identified below, under the heading "Prior Applications," by application number, country or Member of the World Trade Organization, day, month and year of filing, any application for patent or inventor's certificate filed in a country other than the United States of America, including any PCT international application designating at least one country other than the United States of America, having a filing date before that of the application on which foreign priority is claimed.

Prior Applications: .....

.....

I hereby acknowledge the duty to disclose information that is known by me to be material to patentability as defined by 37 C.F.R. § 1.56, including for continuation-in-part applications, material information which became available between the filing date of the prior application and the PCT international filing date of the continuation-in-part application.

I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under Section 1001 of Title 18 of the United States Code and that such willful false statements may jeopardize the validity of the application or any patent issued thereon.

Name: SALAS, Jose, A.....

Residence: OVIEDO, SPAIN .....

.....  
(city and either US state, if applicable, or country)

Mailing Address: The University of Oviedo, Departamento de Biología Funcional e Instituto Universitario de Oncología del Principado de Asturias (I.U.O.P.A), Universidad de Oviedo, 33006 Oviedo, Spain

Citizenship: Spanish.....

Inventor's Signature: .....

(if not contained in the request, or if declaration is corrected or added under Rule 26ter after the filing of the international application. The signature must be that of the inventor, not that of the agent)

Name: .....

Residence: .....

(city and either US state, if applicable, or country)

Mailing Address: .....

.....  
Citizenship: .....

Inventor's Signature: .....

(if not contained in the request, or if declaration is corrected or added under Rule 26ter after the filing of the international application. The signature must be that of the inventor, not that of the agent)

Date: .....

(of signature which is not contained in the request, or of the declaration that is corrected or added under Rule 26ter after the filing of the international application)

This declaration is continued on the following sheet, "Continuation of Box No. VII (iv)".

**Declaration of inventorship (Rules 4.17(iv) and 51bis. 1(a)(iv))  
for the purposes of the designation of the United States of America:**

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Prior Applications: .....

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Name: MENDEZ, Carmen.....

Residence: OVIEDO, SPAIN.....

(city and either US state, if applicable, or country)

Mailing Address: The University of Oviedo, Departamento de Biologia Funcional e Instituto Universitario de Oncologia del Principado de Asturias (I.U.O.P.A), Universidad de Oviedo, 33006 Oviedo, Spain

Citizenship: Spanish.....

Inventor's Signature: 

(if not contained in the request, or if declaration is corrected or added under Rule 26ter after the filing of the international application. The signature must be that of the inventor, not that of the agent)

Date: 16th February 2004

(of signature which is not contained in the request, or of the declaration that is corrected or added under Rule 26ter after the filing of the international application)

Name: .....

Residence: .....

(city and either US state, if applicable, or country)

Mailing Address: .....

Citizenship: .....

Inventor's Signature: .....

(if not contained in the request, or if declaration is corrected or added under Rule 26ter after the filing of the international application. The signature must be that of the inventor, not that of the agent)

Date: .....

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Name: OLANO, Carlos.....

Residence: OVIEDO, SPAIN.....

(city and either US state, if applicable, or country)

Mailing Address: The University of Oviedo, Departamento de Biología Funcional e Instituto Universitario de Oncología del Principado de Asturias (I.U.O.P.A), Universidad de Oviedo, 33006 Oviedo, Spain

Citizenship: Spanish.....

Inventor's Signature: .....  
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Name: .....

Residence: .....  
(city and either US state, if applicable, or country)

Mailing Address: .....

Citizenship: .....

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Name: SANCHEZ, Cesar.....

Residence: OVIEDO, SPAIN.....

.....  
(city and either US state, if applicable, or country)

Mailing Address: The University of Oviedo, Departamento de Biología Funcional e Instituto Universitario de Oncología del Principado de Asturias (I.U.O.P.A), Universidad de Oviedo, 33006 Oviedo, Spain

Citizenship: Spanish.....

Inventor's Signature: .....

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Name: .....

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Name: BRANA, Alfredo, F.....

Residence: OVIEDO, SPAIN .....

(city and either US state, if applicable, or country)

Mailing Address: The University of Oviedo, Departamento de Biología Funcional e Instituto Universitario de Oncología del Principado de Asturias (I.U.O.P.A), Universidad de Oviedo, 33006 Oviedo, Spain

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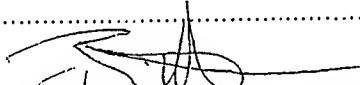
Name: WILKINSON, Barrie.....

Residence: 10 WELPOND CLOSE, SHAWBROOK, LONDON, MK44 1PL, UK .....

(city and either US state, if applicable, or country)

Mailing Address: Biotica Technology Limited, Chesterford Research Park, Little Chesterford, Nr Saffron Walden, Essex, CB10 1XL, United Kingdom

Citizenship: British.....

Inventor's Signature: 

(if not contained in the request, or if declaration is corrected or added under Rule 26ter after the filing of the international application. The signature must be that of the inventor, not that of the agent)

Name: .....

Residence: .....

(city and either US state, if applicable, or country)

Mailing Address: .....

Citizenship: .....

Inventor's Signature: .....

(if not contained in the request, or if declaration is corrected or added under Rule 26ter after the filing of the international application. The signature must be that of the inventor, not that of the agent)

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Name: MARTIN, Christine, J.....

Residence: ...CAMBRIDGE... UK.....

(city and either US state, if applicable, or country)

Mailing Address: Biotica Technology Limited, Chesterford Research Park, Little Chesterford, Nr Saffron Walden, Essex, CB10 1XL, United Kingdom

Citizenship: British.....

Inventor's Signature: ....C.J. Martin.....

(if not contained in the request, or if declaration is corrected or added under Rule 26ter after the filing of the international application. The signature must be that of the inventor, not that of the agent)

Date: ...05 February 2004.....

(of signature which is not contained in the request, or of the declaration that is corrected or added under Rule 26ter after the filing of the international application)

Name: .....

Residence: .....  
(city and either US state, if applicable, or country)

Mailing Address: .....

Citizenship: .....

Inventor's Signature: .....  
(if not contained in the request, or if declaration is corrected or added under Rule 26ter after the filing of the international application. The signature must be that of the inventor, not that of the agent)

Date: .....  
(of signature which is not contained in the request, or of the declaration that is corrected or added under Rule 26ter after the filing of the international application)

This declaration is continued on the following sheet, "Continuation of Box No. VIII (iv)".



Declaration of inventorship (Rules 4.17(iv) and 51bis. 1(a)(iv))  
for the purposes of the designation of the United States of America:

I hereby declare that I believe I am the original, first and sole (if only one inventor is listed below) or joint (if more than one inventor is listed below) inventor of the subject matter which is claimed and for which a patent is sought.

This declaration is directed to the international application of which it forms a part (if filing declaration with application).

This declaration is directed to international application No. PCT/GB2003/005704 (if furnishing declaration pursuant to Rule 26ter).

I hereby declare that my residence, mailing address, and citizenship are as stated next to my name.

I hereby state that I have reviewed and understand the contents of the above-identified international application, including the claims of said application. I have identified in the request of said application, in compliance with PCT Rule 4.10, any claim to foreign priority, and I have identified below, under the heading "Prior Applications," by application number, country or Member of the World Trade Organization, day, month and year of filing, any application for patent or inventor's certificate filed in a country other than the United States of America, including any PCT international application designating at least one country other than the United States of America, having a filing date before that of the application on which foreign priority is claimed.

Prior Applications: .....

I hereby acknowledge the duty to disclose information that is known by me to be material to patentability as defined by 37 C.F.R. § 1.56, including for continuation-in-part applications, material information which became available between the filing date of the prior application and the PCT international filing date of the continuation-in-part application.

I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under Section 1001 of Title 18 of the United States Code and that such willful false statements may jeopardize the validity of the application or any patent issued thereon.

Name: LEADLAY, Peter F.....

Residence: 6 Westberry Court, Grange Road, Cambridge CB3 9BG  
United Kingdom.....

(city and either US state, if applicable, or country)

Mailing Address: Biotica Technology Limited, Chesterford Research Park, Little Chesterford, Nr Saffron Walden, Essex, CB10 1XL, United Kingdom

Citizenship: British.....

Inventor's Signature: PT Leadlay.....

(if not contained in the request, or if declaration is corrected or added under Rule 26ter after the filing of the international application. The signature must be that of the inventor, not that of the agent)

Name: .....

Residence: .....

(city and either US state, if applicable, or country)

Mailing Address: .....

.....

Citizenship: .....

Inventor's Signature: .....

(if not contained in the request, or if declaration is corrected or added under Rule 26ter after the filing of the international application. The signature must be that of the inventor, not that of the agent)

Date: 24/2/2004.....

(of signature which is not contained in the request, or of the

declaration that is corrected or added under Rule 26ter after the filing of the international application)



This declaration is continued on the following sheet, "Continuation of Box No. VIII (iv)".

**Declaration of inventorship (Rules 4.17(iv) and 51bis. 1(a)(iv))  
for the purposes of the designation of the United States of America:**

I hereby declare that I am the original, first and sole (if only one inventor is listed below) or joint (if more than one inventor is listed below) inventor of the subject matter which is claimed and for which a patent is sought.

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Prior Applications: .....

I hereby acknowledge the duty to disclose information that is known by me to be material to patentability as defined by 37 C.F.R. § 1.56, including for continuation-in-part applications, material information which became available between the filing date of the prior application and the PCT international filing date of the continuation-in-part application.

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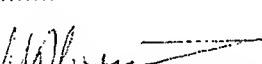
Name: OLIYNYK, Marko.....

Residence: CAMBRIDGE, U.K.....

(city and either US state, if applicable, or country)

Mailing Address: Biotica Technology Limited, Chesterford Research Park, Little Chesterford, Nr Saffron Walden, Essex, CB10 1XL, United Kingdom

Citizenship: Ukrainian.....

Inventor's Signature:   
(if not contained in the request, or if declaration is corrected or added under Rule 26ter after the filing of the international application. The signature must be that of the inventor, not that of the agent)

Date: 2/03/04.....  
(of signature which is not contained in the request, or of the declaration that is corrected or added under Rule 26ter after the filing of the international application)

Name: .....

Residence: .....

(city and either US state, if applicable, or country)

Mailing Address: .....

Citizenship: .....

Inventor's Signature: .....

(if not contained in the request, or if declaration is corrected or added under Rule 26ter after the filing of the international application. The signature must be that of the inventor, not that of the agent)

Date: .....

(of signature which is not contained in the request, or of the declaration that is corrected or added under Rule 26ter after the filing of the international application)



This declaration is continued on the following sheet, "Continuation of Box No. VIII (iv)".